

06/06/00  
JC822 U.S. PRO

06-07-00

A

ATTORNEY DOCKET NO. 22830-67061

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: William F. Walsh and Michael J. Arbolino

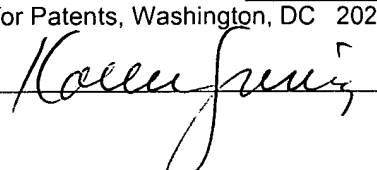
For: METHOD, APPARATUS AND COMPUTER-BASED  
PROGRAM FOR EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT

1c856 U.S. PRO  
09/588389  
06/06/00

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the U.S. Postal Service on June 6, 2000, in an envelope as "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR § 1.10, Mailing Label Number EL485847926US addressed to the: Assistant Commissioner for Patents, Washington, DC 20231.

Karen Spina



Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

**Type of Application:**

- ☒ Utility (non-provisional)
- ☐ Divisional
- ☐ Continuation
- ☒ Continuation-In-Part (CIP)

**Incorporation by Reference:**

- ☐ The entire disclosure of the prior application, **from which a copy of the Oath or Declaration is supplied**, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. (37 CFR § 1.63(d))

**Benefit of Prior U.S. Application(s) Claimed (37 CFR § 1.78):**

- ☒ PLEASE ENTER THE FOLLOWING AMENDMENT TO THE SPECIFICATION UNDER THE CROSS REFERENCE TO RELATED APPLICATIONS SECTION:

- ☐ This application claims the benefit of **U.S. Provisional Application(s) No(s)**. 60/\_\_\_\_\_, filed on \_\_\_\_\_.
- ☒ This application is a ☐ **continuation** ☒ **continuation-in-part** ☐ **divisional** of copending **U.S. Application Serial No(s)**. 09/253,880, filed on February 22, 1999, which is a continuation-in-part of U.S. Application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, which claims the benefit of U.S. Provisional Application No. \_\_\_\_\_, filed on \_\_\_\_\_.
- ☐ **International Application No.** \_\_\_\_\_ filed on \_\_\_\_\_ and which designated the U.S.

**Benefit of Prior Foreign Application(s):**

- ☐ Priority is claimed under 35 U.S.C. § 119 of Application No. \_\_\_\_\_ filed on \_\_\_\_\_ in \_\_\_\_\_ [COUNTRY].
- ☐ A Certified Copy of each of the following application(s) for which priority is claimed:

COUNTRY	APPLICATION No.	FILING DATE

- ☐ is enclosed.
- ☐ has been filed in prior Application Serial No. 0/\_\_\_\_\_, which was filed on \_\_\_\_\_.

filed on \_\_\_\_\_.

**Application Elements Enclosed:**

- ☒   9   Pages of Specification
- ☒   5   Pages of Claims
- ☒   5   Sheets of Drawings
- ☐ Formal
- ☒ Informal
- ☐ Petition to Accept Photographs (*37 CFR § 1.84(b)*).

- ☒   1   Page(s) of Abstract of the Disclosure

**Accompanying Application Parts:**

- ☐ Associate Power of Attorney
- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO 1449 (PTO/SB/08A, 08B)
- ☐ Copies of Cited References
- ☐ Nucleotide and/or Amino Acid Sequence Submission (*37 CFR §§ 1.821-1.825*).
- ☐ Microfiche (Appendix) (*37 CFR § 1.96(c)*).
- ☒ Return Receipt Postcard (itemized)

**Declaration or Oath and Power of Attorney:**

- ☐ New (executed original or copy).
- ☒ New (unexecuted).
- ☐ Copy from prior application (*37 CFR § 1.63(d)*)

**Deletion of Inventor(s)** (37 CFR § 1.63(d)(2), 1.33(b)):

☐ Signed Statement deleting inventor(s) named in the prior application is attached.

**Assignment:**

☐ An executed Assignment of the invention to: \_\_\_\_\_

**Small Entity Statements:**

☐ Statement(s) that this is a filing by a small entity under 37 §§ CFR 1.9 and 1.27 attached.

☐ Status as a small entity was claimed in prior U.S. Application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_. **Status is still proper and desirable.**

☐ A copy of the statement in prior application is enclosed.

The filing fee has been calculated as shown below:

	NO. FILED	NO. EXTRA	<u>SMALL ENTITY</u>		<u>OR</u>	<u>OTHER THAN SMALL ENTITY</u>	
			<u>RATE</u>	<u>FEE</u>		<u>RATE</u>	<u>FEE</u>
FOR:							
BASIC FEE				\$345	<u>OR</u>		\$690
TOTAL CLAIMS	<u>25</u> - 20 = <u>5</u>		x 9 =	\$ 45	OR	x 18 =	\$
INDEP. CLAIMS	<u>4</u> - 3 = <u>1</u>		x 39 =	\$ 39	<u>OR</u>	x 78 =	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM(S)			+130 =	\$	<u>OR</u>	+260 =	\$
TOTAL				\$429	<u>OR</u>		\$

**Method of Payment of Fees:**

- ☒ **No filing fee is to be paid at this time.**
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_. This transmittal is attached in duplicate.
- ☐ A check in the amount of \$ \_\_\_\_\_ is attached. Please charge any deficiency or credit any overpayment to Deposit Account No. 50-0979.

**Authorization to Charge Additional Fees:**

*NOTE: if no fees are to be paid on filing, the following items should NOT be completed.*

- ☐ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to Deposit Account No. 50-0979. **This sheet is provided in duplicate.**
- ☐ Filing fees (37 CFR § 1.16(a), (f) or (g)).
- ☐ Presentation of extra claims (37 CFR § 1.16(b), (c) and (d)).
- ☐ Surcharge for filing the basic filing fee and/or declaration later than the filing date of the application (37 CFR § 1.16(e)).
- ☐ 37 CFR §§ 1.17(a)(1)-(5) (Extension fees pursuant to 37 CFR § 1.136(a)).
- ☐ Application processing fees (37 CFR § 1.17).
- ☐ 37 CFR § 1.18 (Issue Fee at or before mailing of Notice of Allowance pursuant to 37 CFR 1.311(b)).

Date: June 6, 2000

  
\_\_\_\_\_  
John F. Letchford  
Registration No. 33,328

DILWORTH PAXSON LLP  
3200 Mellon Bank Center  
1735 Market Street  
Philadelphia, PA 19103-7595  
Tel.: (215) 575-7000  
Fax: (215) 575-7200